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Total Number of Pages in This Submission

8

Application Number

09/923,035

Filing Date

August 6, 2001

First Named Inventor

John Nafeh

Art Unit

3692

Examiner Name

Eida G. Milef

Attorney Docket Number

PA3817US

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
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<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
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<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	2. PTO/SB/08 (2 pgs); and
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Landscape Table on CD	3. Non-Patent Literature Reference (3pgs).
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<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	Total page number does not include postcard.	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Carr & Ferrell LLP Cust. No. 22830		
Signature	<i>K. Brian Bathurst</i>		
Printed name	K. Brian Bathurst		
Date	January 2, 2009	Reg. No.	51,442

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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): John Nafeh et al.
APPLICATION NO.: 09/923,035
FILED: August 6, 2001
TITLE: Methods and Apparatus for Formulation, Initial Public or Private
Offering, and Secondary Market Trading of Risk Management
Contracts
EXAMINER: Elda G. Milef
GROUP ART UNIT: 3692
ATTY.DKT.NO.: PA3817US

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INFORMATION DISCLOSURE STATEMENT
Under 37 C.F.R. § 1.56, and 1.97-1.98
& Statement Under 37 C.F.R. § 1.97(e)(2)

SIR:

Pursuant to the provisions of 37 C.F.R. §§ 1.56 and 1.97-98 of the Rules of Practice in Patent Cases, enclosed herewith is form PTO-SB-08, listing several references. The Examiner is requested to make these references of official record in the application.

The references cited may be material to examination of the application and are submitted in compliance with Applicants' duty of disclosure as defined by 37 C.F.R. § 1.56. No representation is made or intended as to the completeness of this list, nor is the inclusion of any reference on this list an admission that it is prior art or pertinent to this application.

Applicants hereby declare, pursuant to 37 C.F.R. § 1.97(e)(2), that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after having made a reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the information disclosure statement.

Applicants believe no fee is due with this submission. If a fee is due, however, the Commissioner is hereby authorized to charge any necessary fee to Account Number 06-0600.

Respectfully submitted,
John Nafeh et al.

January 2, 2009

By: 

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